

Grants and Contractual Compliance

Section: 2

Revision Date: 5/22/2018

Critical Incidents

Procedural Bulletin # 6

Purpose

To establish a consistent process of reporting critical incidents in which to respond.

Definition

A Critical Incident is any event that seriously disrupts the routine operation of a work release facility; and/or the supervision of offenders in the community that may be a **serious, significant, or highly sensitive event that would generate political or public interest**, such as the following incidents:

- High Interest Escape (outside of standard failure to return)/Attempted Escape of a Work Release/Secured residential area;
 - Death or serious injury of on-duty staff;
- Death or serious injury of an offender, except in cases where the offender dies of natural causes and the death was anticipated;
- Death or serious injury of a visitor at a facility;
- Riot/Hostage Situation;
- Fire;
- Assault/Battery on Staff;
- Battery on Offender (i.e. battery on another resulting in injury, such as requiring medical attention);
- Sexual misconduct of offender or visitor, (i.e. rape/attempted rape, etc.)
- Staff sexual misconduct;
- Any natural disaster or other serious unexpected event, such as the loss of utilities that may have a serious negative impact upon the operation of the facility;
- Staff or offender injury resulting from use of force;
- Any arrests that take place at work release facilities by local law enforcement/ state police;
- Any incident that may have a negative impact on the entity or Indiana Department of Correction (IDOC);

- Any serious crime, such as homicide, serious battery or sex crime, committed by an offender that may cause widespread interest or non-routine news coverage and where a response or comment may be solicited from the entity or IDOC;
- Any incident that may have a negative impact on the entity or IDOC. This includes any unexpected event that may cause widespread interest or non-routine news coverage and where immediate response or comment may be solicited from the entity or the IDOC, such as Lockdown, Riot, Unexpected Death/Suicide, or Hunger Strike of 5+ offenders at the same time.

Procedures for Reporting of a Critical Incident

- Notify the IDOC Community Corrections Director and/or IDOC Community Corrections Assistant Director within 2 hours of the incident. The IDOC Community Corrections Director and/or IDOC Community Corrections Assistant Director will notify the IDOC Deputy Commissioner of Re-Entry immediately.
- Complete a Critical Incident Report (see below) with a detailed description of the incident and submit within 24 hours. The report should include the following:
 - Entity name/location and/or work site of incident;
 - Staff reporting incident with title/rank;
 - Type of incident;
 - Impact on operations for both staff and offenders;
 - Date and approximate time and short description of incident;
 - Staff/offender(s) involved with names, numbers, and/or rank;
 - Witnesses; and,
 - Injuries to staff or offenders/weapons/damage to property.
- Within 30 business days of the critical incident, if deemed necessary, a site visit will be conducted to discuss the incident by the assigned IDOC Program Director and with any necessary IDOC staff. If the entity is impacted fiscally, the fiscal analyst or auditor will attend. The Program Director will notify the grant entity of the date and time of the site visit. In preparation of the site visit, a Critical Incident Review Report (see below) will be prepared by the entity. The Program Director will submit a report to the IDOC Community Corrections Director the following business day after the site visit.
- If a site visit was determined to not be necessary, the entity will complete the report and submit to the IDOC Community Corrections Director within 5 business days after requesting a completed report. The Critical Incident Review Report will include:
 - Review of staff and offender actions during the incident;
 - Critique of the decisions made during the incident in accordance with entity policy to include any referrals for disciplinary proceedings for offenders and/or staff;
 - Factors that may have contributed to the incident/policy violations;

- Factors that still exist and which could result in similar incidents;
 - Plan of Action to correct/prevent future incidents;
 - Any resolutions made or pending surrounding the incident that occurred, including any referrals to law enforcement.
- Within 1 business day of the receipt of the review, the Program Director will submit a report to the IDOC Community Corrections Director with a description of the findings.
- If the incident is a result of a non-compliance of the grant or a violation of the law, and is verified through the site visit, the IDOC Community Corrections Director will then notify the entity Director and Advisory Board Chairman of the non-compliance/violation. The IDOC Community Corrections Director will proceed with following Procedural Bulletin Section 2-5, the Notification of Contract Non-Compliance.
- If the site visit verifies non-compliance of the procedural bulletins or non-compliance of evidence-based practices that does not violate the rights of the entity offenders, employees, or pose a serious threat to public safety, the entity Director and Advisory Board Chairman will receive a copy of the findings. The Program Director will proceed with Procedural Bulletin Section 2-4, Technical Assistance Plans.

Report of Critical Incident:
Community Corrections Grant Funded Entities

DATE OF REPORT:

GRANT ENTITY NAME:

TO:

TITLE:

REPORTING EMPLOYEE:

TITLE:

DATE OF INITIAL REPORT:

TIME:

.....
DATE OF INCIDENT:

TIME:

LOCATION:

TYPE OF INCIDENT:

___ **ESCAPE** ___

___ **FIRE**

___ **DEATH OF ON-DUTY STAFF**

___ **ASSAULT ON STAFF**

___ **DEATH OF OFFENDER**

___ **SEXUAL MISCONDUCT FROM
OFFENDER**

___ **DEATH OF VISITOR**

___ **SEXUAL MISCONDUCT FROM STAFF**

___ **SERIOUS INJURY ON STAFF**

___ **NATURAL DISASTER**

___ **SERIOUS INJURY ON OFFENDER**

___ **SERIOUS CRIME**

___ **SERIOUS INJURY ON VISTOR**

___ **DISTURBANCE/UNEXPECTED**

___ **RIOT**

INCIDENT OF INTEREST

___ **HOSTAGE**

DESCRIPTION OF THE INCIDENT: (Include if applicable: location within entity/facility, name & title of staff involved, name of offender(s) involved, witnesses, type of use of force, and impact on operations)

Critical Incident Review Report: Community Corrections Grant Funded Entities

DATE OF REPORT:

GRANT ENTITY NAME:

TO:

TITLE:

DATE OF INITIAL REPORT:

TIME:

.....

Actions Completed if Applicable:

1. Review of Staff and/or offender's actions during the incident
2. Critique of the decisions made during the incident in accordance with entity policy to include any referrals for disciplinary action
3. Factors that may have contributed to the incident/policy violations
4. Factors that still exist and which could result in similar incidents
5. Plan of Action to correct/prevent future incidents

REVIEW & RESOLUTION:

(Include the Plan of Action to correct/prevent future incidents and any resolutions made or pending that surrounded the incident that occurred, including referrals to law enforcement)